

GP 2766 2131

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Post Office as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on

Date:

Name:

Signature:

1/11/01

CAROL FELENSTEIN

Carol Felenstein  
Clifford Chance Rogers & Wells LLP

1/22/01  
1/22/01  
1/22/01



Docket No. 6311-11

JAN 18 2001

Technology Center 2100

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**RECEIVED**

FEB 21 2001

Technology Center 2100

In re Application of: Robert Rademacher et al.

Filed: June 20, 2000

Group Art Unit: 2766

Serial No: 09/597,881

Examiner: Not assigned

For: LEVERAGE MARGIN MONITORING AND MANAGEMENT

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

In order to comply with 37 CFR 1.197 and 1.98, attached hereto is a copy of Form PTO-1449 and copies of the documents listed thereon.

Applicants respectfully request the Examiner's consideration of the cited reference and entry into the record of this application and that it be cited of record in the prosecution history of the present application by initialing Form PTO-1449 next to the document. Such initialing is requested even if the Examiner does not consider a cited document to be sufficiently pertinent to use in a rejection, or otherwise does not consider it to be prior art for any reason, or even if the Examiner does not believe that the guidelines for citation have been fully complied with. This is requested so that each document becomes listed on the face of the patent issuing on the present application.

The present Information Disclosure Statement is being submitted in compliance with 37 CFR 1.56, but the citation of such document is not to be construed as an admission that such document is necessarily relevant or prior art. No representation is intended that the cited documents represent the results of a complete search, and it is anticipated that the Examiner, in the normal course of examination, will make an independent search and will determine the best prior art consistent with 37 CFR 1.104(a) and 1.106(b) and, in the course of each search, will review for relevance every document cited on the attached form even if not initialed.

Also enclosed is a Foreign Search Report issued on July 27, 1997 for a foreign counterpart of the present patent application, in which the presently disclosed references were cited. Since a translation of the Search Report is also enclosed, it is believed that the applicants in the above-identified patent application have now met the "concise explanation" requirement of 35 C.F.R. 1.98.

The present Information Disclosure Statement has been submitted prior to the receipt of an Office Action in this application. Accordingly, no fee is due. However, in the event that a first Office Action

was mailed on or before the [redacted] of submission of this disclosure statement [redacted] the Commissioner is hereby authorized to charge any fees to deposit Account No. 50-0521.

Date: Jan. 11, 2001

Respectfully submitted,

J.P. Kincart

Joseph P. Kincart

Reg. No. 43,716

RECEIVED

JAN 18 2001

Technology Center 2100

RECEIVED

FEB 21 2001

Technology Center 2100

Clifford Chance Rogers & Wells LLP  
200 Park Avenue  
New York, NY 10166-0153  
Telephone: (212) 878-3289